

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Walter DEMUTH et al.

Title: METHOD OF FORMING FLAT-TUBE INSERTION SLOTS IN A HEADER TUBE

Appl. No.: Unassigned

Filing Date: 11/21/2003

Examiner: Unassigned

Art Unit: Unassigned

INFORMATION DISCLOSURE STATEMENT
UNDER 37 CFR §1.56

Mail Stop PATENT APPLICATION
Commissioner for Patents
PO Box 1450
Alexandria, Virginia 22313-1450

Sir:

The USPTO has waived the requirement under 37 CFR 1.98(a)(2)(i) to submit copies of U.S. patents and U.S. patent application publications when citing and submitting an Information Disclosure Statements in a patent application filed after June 30, 2003 and in an international application that has entered the national stage under 37 USC §371 after June 30, 2003. Accordingly, copies of these types of documents are not being supplied in connection with this application. Reference is being made to Pre-OG Notice from Office of Patent Legal Administration dated July 25, 2003, *Information Disclosure Statements May Be Filed Without Copies of U.S. Patents and Published Applications in Patent Applications filed after June 30, 2003.*

Applicants submit herewith on Form PTO/SB/08 a listing of the documents cited by or submitted to the U.S. PTO in parent application Serial No. 10/051,374, filed 01/22/2002. As provided in 37 CFR §1.98(d), copies of the documents are not being provided since they were previously submitted to the United States Patent & Trademark Office in the above-identified parent application.

The submission of any document herewith, which is not a statutory bar, is not intended as an admission that such document constitutes prior art against the claims of the present application or that such document is considered material to patentability as defined in 37 CFR §1.56(b). Applicants do not waive any rights to take any action which would be appropriate to antedate or otherwise remove as a competent reference any document which is determined to be a *prima facie* art reference against the claims of the present application.

TIMING OF THE DISCLOSURE

The listed documents are being submitted in compliance with 37 CFR §1.97(b), within three (3) months of the filing date of the application.

RELEVANCE OF EACH DOCUMENT

The relevance of the foreign-language documents is explained in the parent application.

Applicants respectfully request that any listed document be considered by the Examiner and be made of record in the present application and that an initialed copy of Form PTO/SB/08 be returned in accordance with MPEP §609.

The Commissioner is hereby authorized to charge any additional fees which may be required regarding this application under 37 CFR §§ 1.16-1.17, or credit any overpayment, to Deposit Account No. 19-0741. Should no proper payment be enclosed herewith, as by a check being in the wrong amount, unsigned, post-dated, otherwise improper or informal or even entirely missing, the Commissioner is authorized to charge the unpaid amount to Deposit Account No. 19-0741.

Respectfully submitted,

Date November 21, 2003

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Substitute for form 1449B/PTO				Complete if Known	
INFORMATION DISCLOSURE STATEMENT BY APPLICANT				Application Number	Unassigned
Date Submitted: November 21, 2003 (use as many sheets as necessary)				Filing Date	11/21/2003
				First Named Inventor	Walter DEMUTH
				Group Art Unit	Unassigned
				Examiner Name	Unassigned
Sheet	1	of	1	Attorney Docket Number	016906-0296

U.S. PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code ² (if known)			
A1	3,689,972			MOSIER ET AL.	09-12-1972	
A2	4,945,635			NOBUSUE ET AL.	08-07-1990	
A3	5,329,995			DEY ET AL.	07-19-1994	
A4	5,421,086			LE GAUYER	06-06-1995	
A5	5,743,329			DAMSOHN ET AL.	04-28-1998	
A6	6,098,441			HADA ET AL.	08-08-2000	
A7	4,615,385			SAPERSTEIN ET AL.	10-07-1986	
A8	1,906,953			ENGHAUSER	05-02-1933	
A9	4,503,693			LARIKKA	03-12-1985	
A10	5,243,842			KOBAYASHI ET AL.	09-14-1993	
A11	5,737,952			BAUMANN ET AL.	04-14-1998	
A12	2002/0029474	A1		mitsukawa ET AL.	03-14-2002	
A13	5,898,996			BUCHANAN ET AL.	05-04-1999	

FOREIGN PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	Foreign Patent Document			Name of Patentee or Applicant of Cited Documents	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ⁶
		Office ³	Number ⁴	Kind Code ⁵ (if known)				
A14	DE	44 42 040	A1		BEHR GMBH	05-30-1996		
A15	DE	689 07 282	T2		SHOWA ALUMINIUM CO., LTD.	09-30-1993		
A16	DE	693 06 065	T2		VALEO ENGINE COOLING INC.	04-30-1997		
A17	DE	197 41 856	A1		BEHR GMBH & CO.	03-25-1999		
A18	DE	199 11 334	A1		BEHR GMBH & CO.	09-21-2000		
A19	WO	98/51983	A1		NORSK HYDRO TECHNOLOGY B.V.	11-19-1998		
A20	JP	55-122627	A		DAI ICHI HIGH FREQUENCY CO., LTD.	09-20-1980		

NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.) date, page(s), volume-issue number(s), publisher, city and/or country where published.					T ⁶

Examiner Signature

Date Considered

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ Unique citation designation number. ²See attached Kinds of U.S. Patent Documents. ³Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document.

⁵Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶Applicant is to place a check mark here if English language Translation is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, PO Box 1450, Alexandria, Virginia 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, PO Box 1450, Alexandria, Virginia 22313-1450.